



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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Washington, D.C. 20231

APRIL 07, 1999

PTAS

HAMILTON BROOK SMITH & REYNOLDS, P.C.  
DAVID E. BROOK, ESQ.  
TWO MILITIA DRIVE  
LEXINGTON, MA 02421-4799



\*100935182A\*

COPY

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/28/1998

REEL/FRAME: 9662/0984  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
LE, JUNMING

DOC DATE: 11/30/1998

ASSIGNOR:  
VILCEK, JAN

DOC DATE: 11/30/1998

ASSIGNEE:  
NEW YORK UNIVERSITY  
550 FIRST AVENUE  
NEW YORK, NEW YORK 10016

SERIAL NUMBER: 08192861  
PATENT NUMBER:

FILING DATE: 02/04/1994  
ISSUE DATE:

SERIAL NUMBER: 08192093  
PATENT NUMBER:

FILING DATE: 02/04/1994  
ISSUE DATE:

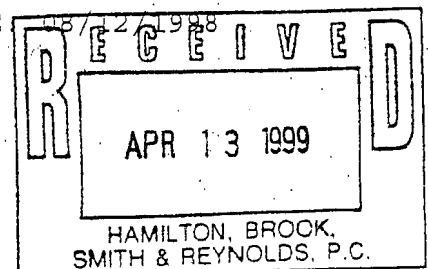
SERIAL NUMBER: 09133119  
PATENT NUMBER:

FILING DATE: 05/27/1988  
ISSUE DATE:

RECEIVED

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OFFICE OF PETITIONS



AUG 8 2007

9662/0984 PAGE 2

SERIAL NUMBER: 08570674  
PATENT NUMBER:

FILING DATE: 12/11/1995  
ISSUE DATE:

SERIAL NUMBER: 08192102  
PATENT NUMBER: 5656272

FILING DATE: 02/04/1994  
ISSUE DATE: 08/12/1997

SERIAL NUMBER: 08324799  
PATENT NUMBER: 5698195

FILING DATE: 10/18/1994  
ISSUE DATE: 12/16/1997

SHARON LATIMER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

AUG 8 2007

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TWO MILITIA DRIVE · LEXINGTON, MASSACHUSETTS 02421

TELEPHONE: (781) 861-6240 · FACSIMILE: (781) 861-9540

PATENTS, TRADEMARKS, COPYRIGHTS AND LITIGATION



COPY

December 23, 1998

MUNROE H. HAMILTON  
(1906-1984)  
CAROLYN S. ELMORE  
SUPERVISING PATENT AGENT  
OF COUNSEL  
RICHARD A. WISE  
DAVID J. THIBODEAU, JR.  
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JOHN W. MEDBURY  
ADMINISTRATIVE DIRECTOR  
BARBARA J. FORGUE  
ADMINISTRATOR OF PATENT  
AND TRADEMARK PRACTICE

Box Assignments  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: Docket No.: NYU93-01M  
Patent No.: 5,656,272 Issue Date: 08/12/97  
For: "Methods of Treating TNF- $\alpha$  Mediated Crohn's Disease Using Chimeric  
Anti-TNF Antibodies"

Docket No.: NYU93-01M4  
Patent No.: 5,698,195 Issue Date: 12/16/97  
For: "Methods of Treating Rheumatoid Arthritis Using Chimeric Anti-TNF Antibodies"

Docket No.: NYU93-01M2  
Serial No.: 08/192,861 Filed: 02/04/94  
For: "Methods of Treating TNF- $\alpha$ -Mediated Disease Using Chimeric Anti-TNF  
Antibodies"

Docket No.: NYU93-01M3  
Serial No.: 08/192,093 Filed: 02/04/94  
For: "Anti-TNF $\alpha$  Antibodies and Assays Employing Anti-TNF $\alpha$  Antibodies"

Docket No.: NYU93-01M4AZ  
Serial No.: 09/133,119 Filed: 08/12/98  
For: "Anti-TNF Antibodies and Peptides of Human Tumor Necrosis Factor"

Docket No.: NYU93-01M4A (Abandoned)  
Serial No.: 08/570,674 Filed: 12/11/95  
For: "Anti-TNF Antibodies and Peptides of Human Tumor Necrosis Factor"


Dear Sir:

It has come to our attention that Assignments for the above-identified patents and applications, recorded with the Assignment Branch to the Patent and Trademark Office, incorrectly designate the

Assignee's name as New York Medical Center. A newly-executed Assignment correctly designating the name of the Assignee as New York University, with an attached Schedule A listing for the above-identified patents and applications, is enclosed with a check for \$240.00, and authorization is hereby granted to charge any additional fees due to Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By   
Carolyn S. Elmore

Registration No.: 37,567

Tel.: (781) 861-6240

Fax: (781) 861-9540

Lexington, Massachusetts 02421-4799

Date: 12/22/58

K:\DSANDERS\NYU\Assign.LT1

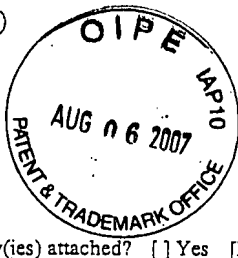
AUG 8 2007

# REGISTRATION FORM COVER SHEET PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies)

1. Junnng Le  
2. Jan Vilcek



Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: November 30, 1998

## 2. Name and address of receiving party(ies)

Name: New York University

Internal Address: \_\_\_\_\_

Street Address: 550 First Avenue

City: New York State: NY ZIP: 10016

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

08/192,861  
08/192,093  
09/133,119  
08/570,674 (abandoned)

## B. Patent No.(s)

5,656,272  
5,698,195

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David E. Brook, Esq

Internal Address: \_\_\_\_\_

Hamilton, Brook, Smith & Reynolds, P.C.

Street Address: Two Militia Drive

City: Lexington State: MA ZIP: 02421-4799

6. Total number of applications and patents involved: [6]

7. Total Fee (37 C.F.R. 3.41)..... \$ 240.00

- ☒ Enclosed  
☒ Authorized to charge any deficiencies or credit any overpayment to deposit account  
☐ Authorized to be charged to deposit account

## 8. Deposit account number:

08-0380

(Attach duplicate copy of this page if paying by deposit account)

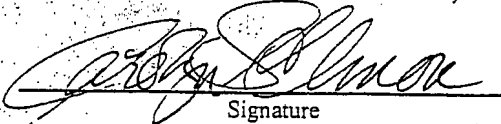
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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Carolyn S. Elmore

Name of Person Signing

  
Signature

12/22/98  
Date

Total number of pages including cover sheet, attachments, and document: [9]

AUG 8 2007

Multi-JointASSIGNMENT

WHEREAS, we, Junming Le and Jan Vilcek, have, together with co-inventors Peter Daddona, John Ghrayeb, David M. Knight and Scott A. Seigel, invented improvements described in the United States Letters Patents and applications for United States Letters Patent attached hereto and made a part hereof as Schedule A (hereinafter "PATENTS AND APPLICATIONS"); and

WHEREAS, New York University (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the State of New York, and having a usual place of business at 550 First Avenue, New York, New York 10016 has acquired an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said inventions as described in said PATENTS AND APPLICATIONS, together with the entire right, title and interest in and to said PATENTS AND APPLICATIONS and such Letters Patents as may issue on said applications; said inventions, said PATENTS AND APPLICATIONS, and such Letters Patents to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patents may be granted as fully and entirely as the same would have been held by us had these assignments and sales not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patents. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said inventions, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patents by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patents to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;


AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid inventions to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said inventions or any application or patent directed thereto may be involved;

AUG 8 2007

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patents as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor:

  
Junming Le

State/~~Commonwealth~~

of New York

County of New York

Then personally appeared before me the above-named Junming Le and acknowledged that he/~~she~~ executed the foregoing instrument as his/~~her~~ free act and deed this 30<sup>th</sup> day of November, 1998.

 Notary Public

(SEAL)

maureen Valenti (print name)

My Commission expires 7/15/99

MAUREEN VALENTI  
Notary Public State of New York  
No. 01VA6014085  
Qualified in Kings County  
Commission Expires July 15, 1999

AUG 8 2007

Inventor:

Jan Vilcek

State/~~Commonwealth~~

of New York

County of New York

Then personally appeared before me the above-named Jan Vilcek and acknowledged that he/~~she~~ executed the foregoing instrument as his/~~her~~ free act and deed this 30<sup>th</sup> day of November, 1998.

Maureen Valenti Notary Public

(SEAL)

maureen Valenti (print name)

My Commission expires 7/15/99

MAUREEN VALENTI  
Notary Public, State of New York  
No. 01VA5014085  
Qualified in Kings County  
Commission Expires July 15, 1999

AUG 8 2007



ASSIGNMENT TO NEW YORK UNIVERSITY  
SCHEDULE A

UNITED STATES PATENTS

<u>File Number</u>	<u>Patent No.</u>	<u>Issue Date</u>	<u>Title</u>
NYU93-01M	5,656,272	08/12/97	Methods of Treating TNF- $\alpha$ Mediated Crohn's Disease Using Chimeric Anti-TNF Antibodies
NYU93-01M4	5,698,195	12/16/97	

UNITED STATES PATENT APPLICATIONS

NYU93-01M2	08/192,861	02/04/94	Methods of Treating TNF- $\alpha$ -Mediated Disease Using Chimeric Anti-TNF Antibodies
NYU93-01M3	08/192,093	02/04/94	Anti-TNF $\alpha$ Antibodies and Assays Employing Anti-TNF $\alpha$ Antibodies
NYU93-01M4AZ	09/133,119	08/12/98	Anti-TNF Antibodies and Peptides of Human Tumor Necrosis Factor

ABANDONED APPLICATION

NYU93-01M4A	08/570,674	12/11/95	Anti-TNF Antibodies and Peptides of Human Tumor Necrosis Factor
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01-04-1999

Docket No.: See Schedule A attached

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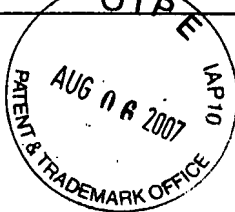
100935182

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents on copy therefor.

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## 1. Name of conveying party(ies)

1. Junming Le
2. Jan Vilcek



## 2. Name and address of receiving party(ies)

Name: New York University

Internal Address: \_\_\_\_\_

Street Address: 550 First AvenueCity: New YorkState: NYZIP: 10016Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: November 30, 1998Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

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08/192,093  
09/133,119  
08/570,674 (abandoned)

## B. Patent No.(s)

5,656,272  
5,698,195

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David E. Brook, Esq

Internal Address: \_\_\_\_\_

Hamilton, Brook, Smith & Reynolds, P.C.Street Address: Two Militia DriveCity: Lexington State: MA ZIP: 02421-47996. Total number of applications and patents involved: [6]7. Total Fee (37 C.F.R. 3.41)..... \$ 240.00

- ☒ Enclosed  
☒ Authorized to charge any deficiencies or credit any overpayment to deposit account.  
☐ Authorized to be charged to deposit account

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Carolyn S. Elmore

Name of Person Signing

Signature

12/22/98  
DateTotal number of pages including cover sheet, attachments, and document: [9]

AUG 8 2007

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Multi-Joint

ASSIGNMENT

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WHEREAS, New York University (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the State of New York, and having a usual place of business at 550 First Avenue, New York, New York 10016 has acquired an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said inventions as described in said PATENTS AND APPLICATIONS, together with the entire right, title and interest in and to said PATENTS AND APPLICATIONS and such Letters Patents as may issue on said applications; said inventions, said PATENTS AND APPLICATIONS, and such Letters Patents to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patents may be granted as fully and entirely as the same would have been held by us had these assignments and sales not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patents. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said inventions, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patents by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patents to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

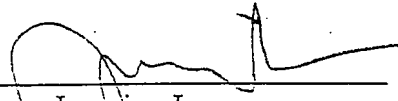
AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid inventions to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said inventions or any application or patent directed thereto may be involved;

AUG 8 2007

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patents as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

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Inventor:

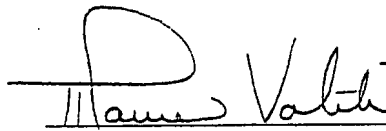
  
Junming Le

State/~~Commonwealth~~

of New York

County of New York

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Maureen Valenti Notary Public  
maureen Valenti (print name)

(SEAL)

My Commission expires 7 / 15 / 99

MAUREEN VALENTI  
Notary Public State of New York  
No. 01VA5014085  
Qualified in Kings County  
Commission Expires July 15, 1999

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Inventor:

Jan Vilcek  
Jan Vilcek

State/~~Commonwealth~~

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